

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 213038US22

First Inventor or Application Identifier Willis et al.

Title INTEGRATED TURBINE POWER GENERATION SYSTEM HAVING LOW
PRESSURE SUPPLEMENTAL CATALYTIC REACTOR

Assignee Name: Capstone Turbine Corporation

Assignee Address: 21211 Nordhoff Street, Chatsworth, CA 91311

1000 U.S. PTO
09/933668

08/22/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. ☒ Specification Total Sheets **70**

3. ☒ Formal Drawing(s) Total Sheets **13**
(35 U.S.C. 113)

4. ☐ Oath or Declaration Total Pages
a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))
(for continuation / divisional w/ box 17 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in
the prior application, see 37 C.F.R. §1.63(d)(2) and
1.33(b).

5. ☐ CD-ROM or CD-R in duplicate, large table or Computer
Program (Appendix)

6. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification or Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☐ Paper

c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))

8. ☒ Application Data Sheet. See 37 CFR 1.76

9. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)

10. ☐ English Translation Document (if applicable)

11. ☐ Information Disclosure
Statement (IDS)/PTO-1449 ☐ Copies of IDS
Citations

12. ☐ Preliminary Amendment

13. ☒ White Advance Serial No. Postcard

14. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

15. ☐ Applicant claims small entity status.
See 37 CFR 1.27

16. ☒ Other: Request for Priority
List of Inventor's Names and Addresses
Request for Specific Examiner Regarding
Copied Claims
Appendix A (Containing 56 pages of specification,
and 16 pages of drawings)
Appendix B (Containing a 5 page report entitled
"ANALYSIS OF EMISSION CONTROL BY A
CATALYTIC RECUPERATOR AND BY
UPSTREAM MONOLITHS"; one page entitled
"Table of Results 1"; one page entitled "Table
of Results 2"; one page entitled "Table of
Results 3"; 27 page document entitled
"CAPSTNE5 MCD" containing calculations; 9
page document entitled "CAPSTNE6 MCD"
containing pages of calculations numbered
19-27; 6 page document entitled
"CAPSALT2.MCD")
Appendix C (Containing 9 page report entitled
"COMBUSTION CATALYSTS FOR ...
TURBINES" and 38 page document entitled
"CAPSTONE.MCD")

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application no.:

09/207,817, filed on
December 8, 1998,
and is a CIP of
application serial No.
09/772,537, filed
January 29, 2001,
which is a
continuation of
application serial NO.
09/420,494, filed
October 19, 1999.

Prior application information: Examiner: Unknown Group Art Unit: Unknown

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is
considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon
when a portion has been inadvertently omitted from the submitted application parts.

18. Amend the specification by inserting before the first line the sentence:

☒ This application is a ☐ Continuation ☐ Division ☒ Continuation-in-part (CIP)

of application Serial No. 09/207,817 Filed on

December 08, 1998, and is a CIP of application serial No. 09/772,537, filed January
29, 2001, which is a continuation of application serial No. 09/420,494, filed October 19,
1999, and claims priority to provisional application serial No. 60/080,457, filed April
02, 1998.

☒ Which was published in English

☐ Which was not published in English

☒ This application claims priority of provisional application Serial No. 60/080,457 Filed April 02, 1998

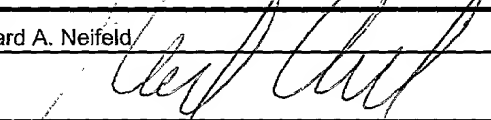
19. CORRESPONDENCE ADDRESS



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Name:	Richard A. Neifeld	Registration No.:	35,299
Signature:		Date:	8/22/01

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Docket No.

213038US22

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S) Willis et al.

SERIAL NO: New Application

FILING DATE: Herewith

FOR: INTEGRATED TURBINE POWER GENERATION SYSTEM HAVING LOW PRESSURE SUPPLEMENTAL CATALYTIC REACTOR

FEE TRANSMITTAL

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	64 - 20 =	44	× \$18 =	\$792.00
INDEPENDENT CLAIMS	16 - 3 =	13	× \$80 =	\$1,040.00
■ MULTIPLE DEPENDENT CLAIMS (If applicable)			+ \$270 =	\$270.00
■ LATE FILING OF DECLARATION			+ \$130 =	\$130.00
BASIC FEE				\$710.00
TOTAL OF ABOVE CALCULATIONS				\$2,942.00
■ REDUCTION BY 50% FOR FILING BY SMALL ENTITY				\$-1,471.00
□ FILING IN NON-ENGLISH LANGUAGE			+ \$130 =	\$0.00
□ RECORDATION OF ASSIGNMENT			+ \$40 =	\$0.00
TOTAL				\$1,471.00

- ☐ Please charge Deposit Account No. 15-0030 in the amount of _____ A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of **\$1,471.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.

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Attorney of Record

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